

# Electronic Information Disclosure Statement



## SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

Application:   
09/893460

Confirmation: 7177

Applicant(s): Joseph GATTO

Docket  
Number: 23449-013

Group Art  
Unit: 3624

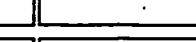
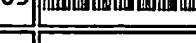
Examiner: Kelly Scaggs Campen

search string: ( 3270190 or 5006998 or 5132899 or 5365425 or 5500795 or 5502637 or 5608620 or 5613072 or 5675746 or 5749077 or 5761442 or 5774880 or 5774881 or 5802518 or 5812988 or 5819271 or 5852811 or 5864871 or 5893079 or 5909669 or 5911136 or 5918217 or 5946666 or 5948054 or 5950176 or 5956691 or 5963922 or 6012042 or 6012043 or 6021397 or 6064986 or 6119103 or 6125355 or 6154732 or 6236980 or 6253192 or 6317726 or 6370516 or 6510419 or 20020019791 or 20020022988 or 20020082966 ).pn.

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### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
NJ	P01	3270190	1966-08-30		Lambert	235	194
NJ	P02	5006998	1991-04-09		Yasunobu et al.	364	513
NJ	P03	5132899	1992-07-21		Fox	364	408

N	P04	5365425	1994-11-15	████████████████	Torma et al.	364	401
A	P05	5500795	1996-03-19	████████████████	Powers et al.	364	401
	P06	5502637	1996-03-26	████████████████	Beaulieu et al.	364	408
	P07	5608620	1997-03-04	████████████████	Lundgren	395	201
	P08	5613072	1997-03-18	████████████████	Hammond et al.	395	204
	P09	5675746	1997-10-07	████████████████	Marshall	395	235
	P10	5749077	1998-05-05	████████████████	Campbell	705	36
	P11	5761442	1998-06-02	████████████████	Barr et al.	395	236
	P12	5774880	1998-06-30	████████████████	Ginsberg	705	36
	P13	5774881	1998-06-30	████████████████	Friend et al.	705	36
	P14	5802518	1998-09-01	████████████████	Karaev et al.	707	9
	P15	5812988	1998-09-22	████████████████	Sandretto	705	36
	P16	5819271	1998-10-06	████████████████	Mahoney et al.	707	9
	P17	5852811	1998-12-22	████████████████	Atkins	705	36
	P18	5864871	1999-01-26	████████████████	Kitain et al.	707	104
	P19	5893079	1999-04-06	████████████████	Cwenar	705	36
	P20	5909669	1999-06-01	████████████████	Havens	705	11
	P21	5911136	1999-06-08	████████████████	Atkins	705	36
	P22	5918217	1999-06-29	████████████████	Maggioncalda et al.	705	36
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	P28	6012042	2000-01-04	████████████████	Black et al.	705	36
	P29	6012043	2000-01-04	████████████████	Albright et al.	705	36
A	P30	6021397	2000-02-01	████████████████	Jones et al.	705	36
N	P31	6064986	2000-05-16	████████████████	Edelman	705	36

M	P32	6119103	2000-09-12	Barcode	Basch et al.	705	35
↑	P33	6125355	2000-09-26	Barcode	Bekaert et al.	705	36
	P34	6154732	2000-11-28	Barcode	Tarbox	705	36
	P35	6236980	2001-05-22	Barcode	Reese	705	36
	P36	6253192	2001-06-26	Barcode	Corlett et al.	705	36
	P37	6317726	2001-11-13	Barcode	O'Shaughnessy	705	36
↓	P38	6370516	2002-04-09	Barcode	Reese	705	36
N	P39	6510419	2003-01-21	Barcode	Gatto	705	36

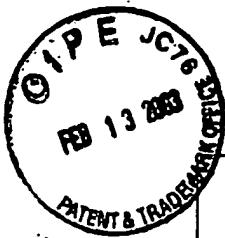
## Published Applications

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init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
M	U01	20020019791	2002-02-14	Barcode	Goss et al.	705	36
↑	U02	20020022988	2002-02-21	Barcode	Columbus et al.	705	11
M	U03	20020082966	2002-06-27	Barcode	O'Brien et al.	705	36

## Signature

Examiner Name	Date
N. J. Juras	3/15/05



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INFORMATION DISCLOSURE CITATION IN AN APPLICATION		Docket Number	Application Number
		23449-013	09/893,460 4 2003
		Applicant(s)	
		Joseph G. GATTO	
Filing Date	Group Art Unit		
June 29, 2001	3624		
Form PTO-1449			

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
N-J	1A	2000090150A	03/31/2000	JAPAN				
N-J	1B	WO 01/80124 A2	10/25/2001	International				

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↑	1D	HO <i>et al.</i> , "Market Reactions to Messages from Brokerage Ratings Systems", <u>Financial Analysts Journal</u> , February 1998, Vol. 54, Issue 1.
	1E	LAMONICA, "The Best and Worst: Bloomberg's Second Annual Analysts Survey, and the Top Analysts Top Picks", <u>Financial World</u> , 30 January 1996, Vol. 165, Issue 2.
	1F	<a href="http://interactive.wsj.com/public/current/summaries/best00.htm">http://interactive.wsj.com/public/current/summaries/best00.htm</a> (1/5/01)
	1G	<a href="http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm">http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm</a> (1/5/01)
	1H	<a href="http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm">http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm</a> (1/5/01)
	1I	<a href="http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm">http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm</a> (1/5/01)
	1J	<a href="http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm">http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm</a> (1/5/01)
	1K	<a href="http://interactive.wsj.com/public/current/articles/SB963945615772798263.htm">http://interactive.wsj.com/public/current/articles/SB963945615772798263.htm</a> (1/5/01)
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	1M	Charles Schwab: Schwab Introduces Analytics Funds; Utilizes Quantitative Techniques to Seek Above-Market Returns.
	1N	MOZES <i>et al.</i> , "Modeling Earnings Expectations Based on Clusters of Analyst Forecasts", <u>The Journal of Investing</u> , Spring 1999.
	1O	<a href="https://www.investars.com/home.asp">https://www.investars.com/home.asp</a> , printed 3/26/01, 5 pages.
	1P	I/B/E/S Active Express", I/B/E/S International Inc., 1999, 2 pages.
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N-J	1U	L. D. BROWN <i>et al.</i> , "Perspectives on Forecasting Research in Accounting and Finance", <u>Journal of Forecasting</u> , Vol. 2, 1983, pages 325-330.

EXAMINER	DATE CONSIDERED
N-J	3/15/05
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	



<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  Form PTO-1449		Docket Number	Application Number
		23449-013	09/893,460
		Applicant(s)	
		Joseph G. GATTO	
		Filing Date	Group Art Unit
June 29, 2001		3624	

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### FOREIGN PATENT DOCUMENTS

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						YES	NO

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	2G	Navin CHOPRA et al., "Yes, Discounts on Closed-End Funds are a Sentiment Index", <u>The Journal of Finance</u> , Vol. XLVIII, No. 2, June 1993, pages 801-808.
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		Joseph G. GATTO			
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## FOREIGN PATENT DOCUMENTS

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							YES
							NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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↑	3B	Praveen SINHA et al., "A Re-Examination of Financial Analysts Differential Earnings Forecast Accuracy", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 14, No. 1, Spring 1997, pages 1-42.
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N-1	3K	Mark E. ZMIJEWSKI, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research' by L. Brown", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 337-342.

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<u>N. DeBaran</u>	<u>3/15/05</u>
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	



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		23449-013		09/893,460			
		Applicant(s)		FEB 14 2003			
		Joseph G. GATTO		GROUP 0600			
		Filing Date		GROUP 0600			
		June 29, 2001		3624			
<b>U.S. PATENT DOCUMENTS</b>							
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<b>FOREIGN PATENT DOCUMENTS</b>							
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
<i>N.J.</i>   <i>N.J.</i>	4A	Lawrence D. BROWN, "Reply to Commentaries on "Earnings Forecasting Research: Its Implications for Capital Markets Research", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 343-344.					
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		Joseph G. GATTO	<b>GROUP 3600</b>
		Filing Date	June 29, 2001

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<b>N.J</b>  <b>↑</b>  <b>↓</b>	5A	Lawrence D. BROWN et al., "The Association Between Nonearnings Disclosures by Small Firms and Positive Abnormal Returns", <u>The Accounting Review</u> , Vol. 68, No. 3, July 1993, pages 668-680.						
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	5J	Ronald KING et al., "Corporate Disclosure and Price Discovery Associated with NYSE Temporary Trading Halts", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 8, No. 2, Spring 1992, pages 509-531.						
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	N.J	5M	Charles M. C. LEE et al., "Inferring Trade Direction from Intraday Data", <u>The Journal of Finance</u> , Vol. XLVI, No. 2, June 1991, pages 733-746.					

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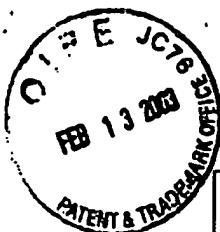
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							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

N. J	6A	Charles M. C. LEE et al., "Price Momentum and Trading Volume", <u>The Journal of Finance</u> , Vol. LV, No. 5, October 2000, pages 2017-2069.
↑	6B	Charles M. C. LEE et al., "Valuing the Dow: A Bottom-Up Approach", <u>Financial Analysts Journal</u> , Vol. 55, No. 5, September/October 1999, pages 4-23.
	6C	Charles M. C. LEE, "Earnings News and Small Traders", <u>Journal of Accounting and Economics</u> , Vol. 15, No. 2/3, June/September 1992, pages 265-302.
	6D	Terry D. WARFIELD et al., "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Accounting for Transfers and Servicing of Financial Assets and Extinguishment of Liabilities", <u>Accounting Horizons</u> , Vol. 10, No. 3, September 1996, pages 178-181.
	6E	Terry D. WARFIELD et al., "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Accounting for Certain Liabilities Related to Closure or Removal of Long-Lived Assets", <u>Accounting Horizons</u> , Vol. 10, No. 4, December 1996, pages 137-141.
	6F	Terry D. WARFIELD et al., "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Consolidated Financial Statements: Policy and Procedures", <u>Accounting Horizons</u> , Vol. 10, No. 3, September 1996, pages 182-185.
	6G	Lawrence D. BROWN et al., "Profiting from Predicting Earnings Surprise", <u>The Journal of Financial Statement Analysis</u> , Winter 1998, pages 57-66.
	6H	Martin M. HERZBERG et al., "Enhancing Earnings Predictability Using Individual Analyst Forecasts", <u>The Journal of Investing</u> , Summer 1999, pages 15-24.
	6I	Susan D. KRISCHE et al., "The Information Content of Analyst Stock Recommendations", First Draft: August 8, 2000, Current Draft: September 25, 2000, 40 pages.
	6J	<a href="http://www.findarticles.com/m4PRN/1999_Oct_14/56284107/pl/article.html">www.findarticles.com/m4PRN/1999_Oct_14/56284107/pl/article.html</a> , printed February 5, 2001, 2 pages.
	6K	<a href="http://my.zacks.com/?ALERT=www.zacks.com">http://my.zacks.com/?ALERT=www.zacks.com</a> , printed February 2, 2001, 6 pages.
	6L	<a href="http://www.cianet.com/">http://www.cianet.com/</a> , printed February 5, 2001, 14 pages.
	6M	<a href="http://www.factset.com/">http://www.factset.com/</a> , printed February 5, 2001, 10 pages.
↓	6N	<a href="http://www.iexchange.com/">http://www.iexchange.com/</a> , printed February 5, 2001, 50 pages.
	6O	<a href="http://www.validea.com/home/home.asp">http://www.validea.com/home/home.asp</a> , printed February 5, 2001, 26 pages.
N. J	6P	<a href="http://www.bulldogresearch.com/default.asp">http://www.bulldogresearch.com/default.asp</a> , printed February 5, 2001, 28 pages.

EXAMINER	DATE CONSIDERED
N. Subor	3/15/05
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	



<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>	Docket Number	Application Number
	23449-013	09/893,460
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Completion Date
June 29, 2001	3624	

Form PTO-1449

Application Number  
09/893,460

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3624

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## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER	DATE CONSIDERED
<u>N. Sebore</u>	3/15/05

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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